

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of

DOTTA et al

Atty. Ref.: 1035-506

Serial No. 10/828,475

Group: 2811

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Examiner: Nadav, O.

For: SEMICONDUCTOR APPARATUS HAVING  
PENETRATION ELECTRODE

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

March 12, 2009

Sir:

**INFORMATION DISCLOSURE STATEMENT**

- |                                     |    |   |                 |
|-------------------------------------|----|---|-----------------|
| <input type="checkbox"/>            | 1. | <b>PTO-1449 Pursuant to 37 CFR 1.97(b)</b><br>[within 3 months of filing or prior to 1st Office Action] | <i>N/C</i>      |
| <input type="checkbox"/>            | 2. | <b>Statement Pursuant to 37 CFR 1.97(c)</b><br>[before Final Office Action or Allowance]                | <i>N/C</i>      |
| <input type="checkbox"/>            | 3. | <b>Fee Payment Pursuant to 37 CFR 1.97(c)</b><br>[before Final Office Action or Allowance]              | <i>\$180.00</i> |
| <input checked="" type="checkbox"/> | 4. | <b>Pursuant to 37 CFR 1.97(d)</b><br>[before Issue Fee payment]   | <i>\$180.00</i> |

The following are submitted in the above-identified application in compliance with 37 C.F.R. §§ 1.97 and 1.98:

- |                                     |    |  |
|-------------------------------------|----|--|
| <input checked="" type="checkbox"/> | 5. | A list of documents on Form PTO-1449 together with copies of each identified document and a translation and/or English language equivalents or a concise explanation of each non-English language document is enclosed herewith.   |
| <input checked="" type="checkbox"/> | a) | The partial translations were provided to the undersigned by the applicants' foreign representative. The undersigned has no knowledge regarding the pertinency of the partially translated portions vis-à-vis the document as a whole. The partial translations are merely provided for whatever convenience they may be. The translations are provided by the Industrial Property Digital Library (IPDL) of the Japanese Patent Office (JPO). |

This paper is submitted in accordance with:

- ☐ 6. 37 CFR 1.97(b): [within 3 months of filing or prior to 1st Office Action]
- ☐ 7. 37 CFR 1.97(c): [before Final Office Action or Allowance, whichever is earlier]; and
- ☐ a) The required Statement made in item 9 below; or
- ☐ b) The \$180.00 fee specified in 37 CFR §1.17(p) for submission of this Information Disclosure Statement is authorized in item 10 below.
- ☒ 8. 37 CFR §1.97(d): [before issue fee payment]; and
- ☒ a) The fee (\$180.00) required by 37 CFR §1.17(p) is submitted herewith; and
- ☒ b) The required Statement is stated in item 9 below.
- ☒ 9. Statement under 37 CFR 1.97(e)
- ☒ a) The undersigned attorney of record hereby certifies under 37 C.F.R. §1.97(e) that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement (each item contained in this IDS was the first citation of that item by a foreign patent office in a counterpart foreign application which occurred no more than three months prior to the filing of this IDS); or
- ☐ b) No item of information contained in this Information Disclosure Statement was cited in any communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement, after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.
- ☒ 10. Please charge all deficiency fees associated with the submission of this Information Disclosure Statement and any other fees applicable to this application to Deposit Account No. 14-1140.

Respectfully submitted,  
NIXON & VANDERHYE P.C.

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